

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 3237-01 U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/554305
INTERNATIONAL APPLICATION NO. PCT/US2004/012186	INTERNATIONAL FILING DATE 20 April 2004 (20.04.2004)	PRIORITY DATE CLAIMED 30 April 2003 (30.04.2003)
TITLE OF INVENTION Ethoxylated Surfactants for Water in Oil Emulsions		
APPLICANT(S) FOR DO/EO/US THE LUBRIZOL CORPORATION; HOBSON, David; PSAILA, Alex and DI BIASE, Stephen A.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 24pt; font-weight: bold;">10/554305</div>		INTERNATIONAL APPLICATION NO. PCT/US2004/012186		ATTORNEY'S DOCKET NUMBER 3237-01			
20. Other items or information: Form PTO-1449 IDS, foreign cited art, and Certification Under 37 CFR 1.10							
The following fees have been submitted				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:50%;">CALCULATIONS</th> <th style="width:50%;">PTO USE ONLY</th> </tr> </table>		CALCULATIONS	PTO USE ONLY
CALCULATIONS	PTO USE ONLY						
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)) \$300				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">300.00</td> </tr> </table>		\$	300.00
\$	300.00						
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .. \$0 All other situations .. \$200				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">200.00</td> </tr> </table>		\$	200.00
\$	200.00						
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400 All other situations \$500				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">500.00</td> </tr> </table>		\$	500.00
\$	500.00						
TOTAL OF 21, 22 and 23 =				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">1,000.00</td> <td style="width:50%;"></td> </tr> </table>		1,000.00	
1,000.00							
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.							
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE				
28 - 100 =	-72 /50 =		x \$250	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">0.00</td> </tr> </table>		\$	0.00
\$	0.00						
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">0.00</td> </tr> </table>		\$	0.00
\$	0.00						
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE				
Total claims	10 - 20 =	0	x \$ 50	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">0.00</td> </tr> </table>		\$	0.00
\$	0.00						
Independent claims	3 - 3 =	0	x \$200	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">0.00</td> </tr> </table>		\$	0.00
\$	0.00						
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">0.00</td> </tr> </table>		\$	0.00
\$	0.00						
TOTAL OF ABOVE CALCULATIONS =				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">1,000.00</td> </tr> </table>		\$	1,000.00
\$	1,000.00						
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">0.00</td> <td style="width:50%;"></td> </tr> </table>		0.00	
0.00							
SUBTOTAL =				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">1,000.00</td> </tr> </table>		\$	1,000.00
\$	1,000.00						
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">0.00</td> </tr> </table>		\$	0.00
\$	0.00						
TOTAL NATIONAL FEE =				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">1,000.00</td> </tr> </table>		\$	1,000.00
\$	1,000.00						
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">0.00</td> </tr> </table>		\$	0.00
\$	0.00						
TOTAL FEES ENCLOSED =				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">\$</td> <td style="width:50%;">1,000.00</td> </tr> </table>		\$	1,000.00
\$	1,000.00						
				Amount to be refunded: \$			
				Amount to be charged \$			

10/554305

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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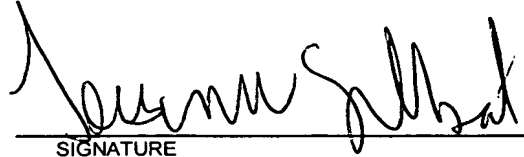
10/20 RECEIVED PTO & 5 OCT 2005

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 12-2275 in the amount of \$ 1,000.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 12-2275. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Teresan W. Gilbert
The Lubrizol Corporation
Patent Dept./Mail Drop 022B
29400 Lakeland Blvd.
Wickliffe, OH 44092-2298


SIGNATURE

Teresan W. Gilbert
NAME

31,360
REGISTRATION NUMBER

10/554305

CERTIFICATION UNDER 37 CFR 1.10

Docket No. 3237-01

INTERNATIONAL APPLICATION NO. PCT/US2004/012186
INTERNATIONAL FILING DATE: 20 April 2004
PRIORITY DATE CLAIMED: 30 April 2003
TITLE OF INVENTION: Ethoxylated Surfactants for Water in Oil Emulsions
APPLICANTS: THE LUBRIZOL CORPORATION;
HOBSON, David; PSAILA, Alex; DI BIASE, Stephen

ED793757602US

Express Mail mailing number

10-25-05

Date of Deposit

I hereby certify that the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 and the documents listed below are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to MAIL STOP PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450:

Transmittal Letter (in duplicate)
Preliminary Amendment
Information Disclosure Statement
Form PTO-1449 IDS
Return Receipt Postcard


Signature of Person Mailing Correspondence

Nancy S. Dedek
Typed or printed name of person mailing correspondence